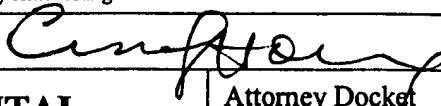


CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date.			
Typed or Printed Name	Cindy Kim Hoang		
Signature		Date	May 2, 2002
<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT</b>  Address to: Commissioner for Patents Washington, D.C. 20231		Attorney Docket	NUFO-028
		First Named Inventor	CHAPMAN, WILLIAM B.
		Application Number	09/848,914
		Confirmation No.	7122
		Filing Date	May 4, 2001
		Group Art Unit	2881
		Examiner Name	To Be Assigned
		Title: "METHOD AND APPARATUS FOR TUNING A LASER"	

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. A Form PTO-SB/08A listing the references and copies of the cited references accompany this paper. Applicants would appreciate the Examiner's initialing and returning the form to indicate that the references have been reviewed and made of record.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

As applicants have not yet received a first Action on the merits, no fee is believed to be required for filing this Disclosure Statement. If, however, the PTO finds that for some reason a fee is due, our Deposit Account No. 50-0815, Order No. NUFO-028 may be charged thereon.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date:

05/02/02

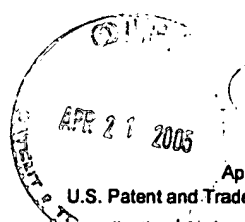
By:



ROBERT C. HALL  
Registration No. 39,209

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete If Known</b>	
		<b>Application Number</b> <b>Filing Date</b> <b>First Named Inventor</b> <b>Group Art Unit</b> <b>Examiner Name</b> <b>Attorney Docket Number</b>	<b>09/848,914</b> <b>May 4, 2001</b> <b>Chapman et al.</b> <b>2881</b> <b>To Be Assigned</b> <b>NUFO028</b>
Sheet	1	of	4

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Documents		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		3,967,211		Itzkan et al.	06-29-1976	
		4,309,671		Malyon	01-05-1982	
		4,504,950		AuYeung	03-12-1985	
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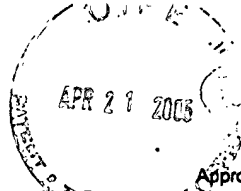
Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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			Application Number	09/848,914	
			Filing Date	May 4, 2001	
			First Named Inventor	Chapman et al.	
			Group Art Unit	2881	
Examiner Name	To Be Assigned				
Attorney Docket Number	NUFO028				
Sheet	2	of	4		

		5,331,651		Graindorge et al.	09-20-1994	
		5,349,440		DeGroot	09-20-1994	
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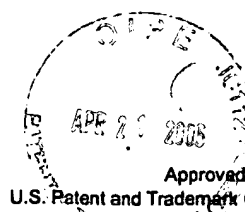
Examiner Signature		Date Considered	
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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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				<b>Application Number</b>	<b>09/848,914</b>	
<b>Sheet</b>		<b>3</b>	<b>of</b>	<b>4</b>	<b>Filing Date</b>	<b>May 4, 2001</b>
					<b>First Named Inventor</b>	<b>Chapman et al.</b>
					<b>Group Art Unit</b>	<b>2881</b>
					<b>Examiner Name</b>	<b>To Be Assigned</b>
					<b>Attorney Docket Number</b>	<b>NUFO028</b>

		US 6,304,586		Pease et al.	10-16-2001	
		US 6,321,011		Deacon	11-20-2001	
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		US 6,331,892		Green	12-18-2001	
		USRE 37,044		Wu	02-06-2001	
		US 6,324,204		Deacon	02-27-2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Documents			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		FAVRE, et al. "External-Cavity Semiconductor Laser With 15 nm Continuous Tuning Range", Electronics Letters, June 19, 1996.	
		MACLEOD, H.A. Thin Film Optical Filters 2 <sup>nd</sup> Edition, McGraw-Hill, 1989, pgs 244-269.	
		MELLIS et al. "Miniature Packaged External-Cavity Semiconductor Laser With 50 Ghz Continuous Electrical Tuning Range" Electronics Letters, April 22, 1988.	
		ROSENBERG, K.P. et al. "Logarithmically Variable Infrared Etalon Filters," SPIE, Vol. 2262/223, pgs.223-232.	
		SCOBAY & STUPIK, "Stable Ultra-Narrow Bandpass Filters, SPIE, Vol 2262, pgs.37-46	
		SIEGMAN A.E. "An Introduction to Lasers and Masers," Mc-Graw-Hill, Inc. 1971.	
		TAKASHASHI, H. "Temperture Stability of Thin-Film Narrow-Bandpass Filters Produced by Ion-Assisted Deposition" Applied Optics, Vol. 34, No. 4, Feb. 1, 1995.	
		YODER, Optical Instrument Structural Design, pp. 612-619.	
		ZHANG, X.X., "An Interference Filter Based External Cavity Laser For Dense Wavelength Division Multiplexing Applications" Coring OCA Corp. pgs. 103-108.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: CHAPMAN, et al

Attorney Docket No.: NFC1P027

Application No.: NOT YET ASSIGNED

Examiner: N/A

Filed: May 4, 2001

Group: N/A

Title: METHOD AND APPARATUS FOR  
TUNING A LASER

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence and the documents and/or fees referred to as attached herein are being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, Mailing Label Number EF 397446131 US, addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on May 4, 2001.

Signed: \_\_\_\_\_

Charles C. Cary

May 4, 2001  
Dated

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §§1.56 AND 1.97(c)**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

The references listed in the attached PTO Form 1449, copies of which are attached, may be material to examination of the above-identified patent application. Applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

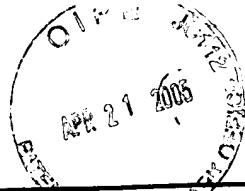
This Information Disclosure Statement is being filed within three (3) months of the filing date of the above-referenced application. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-1338 (Order No. NFC1P027).

Respectfully submitted,  
CARY & KELLY, LLP

Charles C. Cary  
Reg. No. 36,764

1875 Charleston Road  
Mountain View, CA 94043  
Telephone: (650) 316-4011

mv



<b>Form 1449 (Modified)</b> <b>Information Disclosure</b> <b>Statement By Applicant</b>  (Use Several Sheets if Necessary)	Atty Docket No.:	NFC1P027
	Application No.:	NOT YET ASSIGNED
	Applicant:	CHAPMAN, et al
	Filing Date	May 4, 2001
	Group	n/a

#### U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
	A	5,473,625	12/05/95	HANSEN et al	372	96	09/26/94
	B	5,737,109	04/07/98	GOODWIN	359	161	01/16/96
	C	5,991,061	11/23/99	ADAMS et al	359	188	10/20/97
	D	4,560,246	12/24/85	COTTER	350	96.16	06/02/83
	E	6,205,159	03/20/01	SESKO et al	372	20	06/23/98
	F						
	G						
	H						
	I						
	J						
	K						

#### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
	L	EP0924628	Jun 23, 1999					
	M	WO98/44424	Oct 8, 1998					
	N							
	O							
	P							

#### Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
	R	
	S	
	T	
Examiner	Date Considered	

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*mw*